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NOTICE OF ALLOWANCE AND FEE(S) DUE

58328 7590 02/18/2009

SUN MICROSYSTEMS
C/O SONNENSCHN NATH & ROSENTHAL LLP
P.O. BOX 061080
WACKER DRIVE STATION, SEARS TOWER
CHICAGO, IL 60606-1080

EXAMINER

PARTHASARATHY, PRAMILA

ART UNIT

PAPER NUMBER

2436

DATE MAILED: 02/18/2009

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/743,929

12/22/2003

Michael K. Saltz

30014200-2028

9010

TITLE OF INVENTION: FRAMEWORK FOR PROVIDING A CONFIGURABLE FIREWALL FOR COMPUTING SYSTEMS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$0	\$1810	05/18/2009

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

PART B - FEE(S) TRANSMITTAL

**Complete and send this form, together with applicable fee(s), to: Mail Mail Stop ISSUE FEE
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INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

58328 7590 02/18/2009

SUN MICROSYSTEMS
C/O SONNENSCHN NATH & ROSENTHAL LLP
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WACKER DRIVE STATION, SEARS TOWER
CHICAGO, IL 60606-1080

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/743,929 12/22/2003 Michael K. Saltz 30014200-2028 9010

TITLE OF INVENTION: FRAMEWORK FOR PROVIDING A CONFIGURABLE FIREWALL FOR COMPUTING SYSTEMS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
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nonprovisional NO \$1510 \$300 \$0 \$1810 05/18/2009

EXAMINER	ART UNIT	CLASS-SUBCLASS
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PARTHASARATHY, PRAMILA 2436 726-015000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, 1 _____
- (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 2 _____
- 3 _____

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent) : ☐ Individual ☐ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☐ Issue Fee
- ☐ Publication Fee (No small entity discount permitted)
- ☐ Advance Order - # of Copies _____

4b. Payment of Fee(s); (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature _____

Date _____

Typed or printed name _____

Registration No. _____

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/743,929	12/22/2003	Michael K. Saltz	30014200-2028	9010
58328	7590	02/18/2009	EXAMINER	
SUN MICROSYSTEMS C/O SONNENSCHN NATH & ROSENTHAL LLP P.O. BOX 061080 WACKER DRIVE STATION, SEARS TOWER CHICAGO, IL 60606-1080			PARTHASARATHY, PRAMILA	
			ART UNIT	PAPER NUMBER
			2436	
			DATE MAILED: 02/18/2009	

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 663 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 663 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

Notice of Allowability	Application No.	Applicant(s)	
	10/743,929	SALTZ, MICHAEL K.	
	Examiner	Art Unit	
	PRAMILA PARTHASARATHY	2436	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to remarks filed on 11/17/2008.
2. ☒ The allowed claim(s) is/are 1,3,6,8-10,15-18,22; renumbered as 1 - 11.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
 - a) ☐ All b) ☐ Some* c) ☐ None of the:
 1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).
 - * Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
 - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
 - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
 - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

- | | |
|--|--|
| 1. <input type="checkbox"/> Notice of References Cited (PTO-892) | 5. <input type="checkbox"/> Notice of Informal Patent Application |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 6. <input type="checkbox"/> Interview Summary (PTO-413),
Paper No./Mail Date _____. |
| 3. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date _____ | 7. <input checked="" type="checkbox"/> Examiner's Amendment/Comment |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit
of Biological Material | 8. <input type="checkbox"/> Examiner's Statement of Reasons for Allowance |
| | 9. <input type="checkbox"/> Other _____. |

/Pramila Parthasarathy/
Primary Examiner, Art Unit 2436

Art Unit: 2436

Response to Arguments

Applicant's arguments filed 11/17/2008 have been fully considered but they are not persuasive. Applicant argues "...the trademark/trade name Java TM clearly limits the scope of the present claims" and is the same phrase as "Java compliant virtual Machine". Examiner, during the interview on January 12, 2009 directed the Applicant attention to MPEP 2173.05 and requested to amend the claims to overcome 35 USC 112 second paragraph rejection, as directed in previous office action. Applicant agreed to Examiner's suggested amendment and Examiner hereby withdraws the rejection.

Allowable Subject Matter

Claims 1, 3, 6, 8 – 10, 15 – 18 and 22 are allowed and renumbered as 1 – 11.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Tarek N. Fahmi, Registration number 41,402 on January 12, 2009.

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IN THE CLAIMS:

6. (Amended) A computing environment as recited in claim 1, wherein said computing environment is a Java[™] compliant computing environment, and wherein said first and second applications are Java[™] compliant applets.

8. (Amended) A computing environment as recited in claim 1, wherein said computing environment is a Java[™] compliant computing environment, and wherein said first firewall control block is implemented as in the run time environment.

9. (Amended) A mobile computing device, comprising:
an operating system; a Java[™] compliant virtual machine operating on said operating system;

a first Java[™] compliant applet operating on said Java[™] compliant virtual machine;

a Java[™] compliant applet operating on said virtual machine Java[™] compliant virtual machine; and

a first firewall control block, wherein said first firewall control block defines access privileges of said first Java[™] compliant applet with respect to at least one other Java[™] compliant applet operating on said Java[™] compliant virtual machine, and further defines the access privileges of said at least one other Java[™] compliant applet ~~Java[™] compliant applet~~ with respect to said first Java[™] compliant applet; and

a second firewall control block, wherein said second firewall control block defines access privileges of said at least one other Java[™] compliant applet with respect to the first Java[™] compliant virtual machine, and further defines the access privileges of said first Java[™] compliant applet with respect to said at least one other Java[™] compliant applet,

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wherein said first firewall control block and said second firewall control block each includes a firewall control value and a firewall control indicator, the firewall control value including an application identifier data having a resource identifier and a proprietary identifier extension, the firewall control indicator being an indicator value represented by one or more bytes that indicate how the firewall control value should be interpreted with respect to access privileges of other Java[™] compliant applets, and

wherein when said firewall control indicator of said first firewall control block has a first indicator value, said first firewall control block compares said proprietary identifier extension of said first firewall control block to said proprietary identifier extension of said second firewall control block, and when said firewall control indicator has a second indicator value, said first firewall control block compares said proprietary identifier extension and resource identifier of said first firewall control block to said proprietary identifier extension and resource identifier of said second firewall control block.

10. (Amended) A mobile computing device as recited in claim 9, wherein said mobile device is a Java[™] compliant smart card.

15. (Amended) A mobile computing device as recited in claim 10, wherein for a firewall control block is defined by for every Java[™] compliant applet.

16. (Amended) A method of providing security for a Java compliant computing environment that includes a Java[™] virtual machine and a plurality of Java[™] compliant applets that operate on said Java[™] virtual machine, said method comprising:

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receiving a request from a first Java™ compliant applet operating on a Java™ virtual machine to access a second Java™ compliant applet, the first Java™ compliant applet having a first firewall control block associated with it and the second Java™ compliant applet having a second firewall control block associated with it;

reading the second firewall control block associated with said second Java™ compliant applet, said first firewall control block and said second firewall control block each including a firewall control value and a firewall control indicator, the firewall control value including an application identifier data having a resource identifier and a proprietary identifier extension, the firewall control indicator being an indicator value represented by one or more bytes that indicate how the firewall control value should be interpreted with respect to access privileges of the respective first or second Java™ compliant applet;

determining, based on said second firewall control block, whether said first Java™ compliant applet should be allowed to access said second Java™ compliant applet by determining whether said firewall control value of said second firewall control block has a first indicator value or a second indicator value, wherein

wherein said first firewall control block and said second firewall control block has a first indicator value, said second firewall control block compares said proprietary identifier extension of said first firewall control block to said proprietary identifier extension of said second firewall control block, and

wherein said firewall control indicator of said second firewall control block has a second indicator value, said second firewall control block compares said proprietary identifier extension and resource identifier of said first firewall control block to said first firewall control block to said proprietary identifier extension and resource identifier of said second firewall control block; and

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allowing said first Java[™] compliant applet to access said second Java[™] compliant applet when said determining determines that access should be allowed.

17 (Amended) A method as recited in claim 16, wherein said method further comprises:

Providing a reference to said first Java[™] compliant applet with a reference to said second Java[™] compliant applet when said determining determines that access should be allowed.

18. (Amended) A method as recited in claim 16, wherein said providing of a reference comprises:

Invoking a first method that is implemented as a part of Java[™] management environment or Java[™] system environment; and

Invoking a second method that is implemented as a Applet class, as a result of said invoking of the second method.

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Any inquiry concerning this communication or earlier communications from the examiner should be directed to PRAMILA PARTHASARATHY whose telephone number is (571)272-3866. The examiner can normally be reached on 8:00a.m. to 5:00p.m..

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nasser Moazzami can be reached on 571-272-4195. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Pramila Parthasarathy/
Primary Examiner, Art Unit 2436
February 08, 2009